

AVIATION SAFETY REPORTING SYSTEM SUBCOMMITTEE (ASRSS)

**November 3, 2004
Washington, D.C.**

Morning Session

Administrative and Opening Remarks

Mr. Wirth, ASRS Advisory Subcommittee Chair, called the public meeting to order. Mr. Wirth outlined the agenda items, which included: new subcommittee member discussions, NASA/FAA electronic report submission presentations, ASRS status report, ASRS VMV review, current high profile safety issue briefing, SIRS update and an open discussion period. Mr. George Finelli, the NASA Aviation Safety and Security Program Manager, which now includes ASRS, talked briefly about the reorganization of NASA into four mission organizations and the new committee and subcommittee structure. He stated that the ASRS subcommittee is under the AvSSP subcommittee headed by Mr. Obrien.

New Subcommittee Member Discussions

Ms. Connell informed the subcommittee that three open positions existed on the ASRS subcommittee, and that potential new members included aircraft dispatchers, Department of Defense and the National Transportation Safety Board. The NASA limit for the ASRS subcommittee is 15 members, which does include the FAA representative, but not the NASA executive secretary. Ms. Connell also said that AMFA has expressed an interest in being represented on the subcommittee, due to the majority membership they represent in the mechanic reporter group and their involvement with many Aviation Safety Action Programs. Mr. Landsberg wanted to know the actual number of report submissions from the dispatcher group. Ms. Kolander clarified that the ADF represents multiple dispatcher organizations and that this reporter group plays a critical role in the safe operation of airlines. The subcommittee reached consensus that each key ASRS reporting group be represented and that dispatchers are key to identifying safety hazards. Ms. Connell will continue to work with Mr. O'Keefe at ADF to identify an appropriate dispatcher representative. In addition, there are also additional positions open as current subcommittee members leave their respective organizations. The pilot groups of APA and SWAPA were also addressed as possible rotating members to the committee. Mr. Landsberg wondered if the different pilot union reps would have differing safety issues that would warrant individual representation. Mr. Blouin recommended Mr. Brown to be the new representative for the NBAA. Ms. Connell suggested Paul Railsback as a possible representative for ATA. The subcommittee ranked new membership priorities as dispatchers, NTSB and DOD. Ms. Connell took for action to work on subcommittee membership.

Mr. Hedges indicated that the JPDO mandated by Congress for information sharing might have a place on the subcommittee. Most subcommittee members believed they could communicate ASRS issues to the JPDO through their respective organizational

members. The JPDO's charter is to identify aviation community needs through 2020, and that the NASA representative is Mr. Hertz. The FAA took as an action item to send ASRS subcommittee members documentation on the legislative formulation of the JPDO.

NASA Electronic Report Submission Presentation

Mr. Bixler began the NASA presentation on ASRS secure electronic report submission with an introduction of the Federal requirements governing IT systems and the ASRS goals for Internet submission. Dr. Chow then presented a technical proposal on secure Internet based ASRS report submission.

Questions/Discussion: Mr. Finelli asked at what point in the process the reporter's ID was stripped from the ASRS report. Mr. Chow's proposal maintained the same process flow as the current submission system and maintained the reporter's ID throughout the applicable report processes. Mr. Finelli then wondered if the NASA/FAA objectives and risks had been reconciled. Mr. Wirth sought clarification concerning the scrapper client described in Mr. Chow's proposal. Mr. Hedges asked for the cost timeline for the program. Ms. Connell responded that ASRS was setting goals to budget to, rather than adjusting the goals to fit a changing/decreasing budget. Ms. Connell also stated that a preliminary approximation for the full system proposed by Mr. Chow was \$700K with a time period of 10 months for development and implementation. Mr. Bourque inquired as to the protections from keystroke monitoring and Mr. Chow addressed both the hardware and software vulnerabilities. Mr. Chow also recognized there is no perfect solution, but that this proposal, along with education outreach, would offer the maximum protections for ASRS and its users. Mr. Landsberg stated that this proposal offered more protection than needed, and that the subcommittee needed to look at possibilities and probabilities. Mr. Landsberg also stated that AOPA members were not as concerned about confidentiality or immunity protections as career airline employees. Mr. Bourque said his membership had tremendous concerns with maintaining the high level of confidentiality and immunity protection as provided by ASRS. Mr. Anoll stated that the United States should look to the British system, which notifies its users to mail in sensitive reports, versus submitting the reports electronically. Mr. Finelli said consideration should be given to the overall benefits of electronic submission. Mr. Landsberg believed the security discussion was a matter of determining the last digit in a 99.X percent secure system.

FAA Presentation

Mr. Hedges stated that safety reporting has changed in the past 25 years and ASRS needs to change. He stated that when ASAP is up and running the immunity provisions from ASRS will not be needed. Electronic report submission is a foundation activity that enhances safety reporting. In 2002 the FAA advanced a notional model of ASRS that was met by the concern of confidentiality. He stated that FAA funding is not a pretty picture and that funding has been reduced across the agency. In January 2004, we brought in experts to raise issues from the committee about implementing ASRS ERS. Mr. Yen, the FAA CIO was asked for a lot of money to do electronic submission, but he declined and instead offered resources. The FAA goal is a state of the art reporting system that can easily integrate ASAP submission. Mr. Hedges again stated that the FAA

is under extreme funding pressures, and that NASA, the FAA and industry stakeholders need to address ASRS in the 21st century. Mr. Hedges proposed a Beta-Test Internet submission system, developed through a spiral development process, in concert with the FAA Tech Center in Atlantic City. This facility was developed so that the FAA could internally develop its own IT capabilities and not have to rely on outside contractors. The FAA IT proposal was presented in three parts. Mr. Thomas, from the FAA Software Engineering Resource Center (SERC) presented the initial portion of the FAA electronic proposal. Mr. Pursel, a contractor from Northrop Grumman, then demonstrated an electronic ASRS form developed by the tech center. Dr. Brackett, from Boston University, then concluded the FAA presentation.

Questions/Discussions: Ms. Kolander asked if cracking into one portal of the electronic submission system could provide access into other portals. Mr. Pursel said this would not occur. Mr. Blouin asked if there had been a proper requirements process to define the requirements. Mr. Hedges stated that the FAA objective was to bring knowledge into the January and November ASRS subcommittee meetings. Ms. Connell stated there were two levels of Internet submission requirements, one for the user, and the other for the system. Both had been compiled on the risk spreadsheets presented in conjunction with the NASA proposal. Dr. Brackett stated that they wanted to show us what the tech center could build and develop by late December for testing and implementation. Mr. Pursel stated he would need a requirements process for the initial beta testing, but felt something could be ready by the end of first quarter 2005 for external ASRS use. The initial proposal request for an ASRS Internet submission system was given to the Software Engineering Resource Center (SERC) by the Office of System Safety in October 2004.

Mr. Pursel from Northrop Grumman gave a presentation demonstrating the ASRS electronic report form they had developed. He stated that he was not ready to address the ASRS concepts of confidentiality. His presentation covered the ability to print or fill the form out on line, information validation, prefill capabilities and the capturing of stored information. Mr. Landsberg voiced concern about the reporter being driven into two hours of follow on questions for an on line general aviation survey. Ms. Connell stated that all of the features demonstrated today had already been developed through ASRS enhancements funded by NASA. She stated that the IT capabilities missing were the ones needed to provide secure electronic report submission.

Dr. Brackett then presented a summary, in which he felt one of the largest areas unprotected in the submission process, would be a rogue employee breaking the confidentiality requirements. In addition, he stated that where the user gained access to the system (whether public or private) was the individual's problem, and that ASRS should follow the model used by financial institutions. Several different scenarios were then presented by the FAA team for the advancement of their plan, including an IT modernization schedule, a division of responsibilities and two implementation alternatives. Mr. Thomas stated that the SERC had already established fixed costs during a full and open competition and had 33 defined labor rate categories and had spent \$4M on hardware, software, and labor.

Mr. Wirth commented that the beta testing should be done with a closed group of pilots and not open to the public, as had been done in previous ASRS Internet submission tests. Mr. Hedges stated that the FAA proposal had the beta test open to the public for use on a GA weather callback. Mr. Hedges asked Mr. Thomas for a cost estimate and was told \$100K at the low end with minimal security or features.

Ms. Kolander then commented about the lack of security features in the FAA presentation. A discussion followed about the level of security needed for ASRS information. Mr. Blouin felt strongly that testing and transferring and storage of data must take place at an ASRS location. Other subcommittee members agreed. Mr. Hedges stated that the Office of Safety was considering other avenues where the FAA could implement their electronic callback proposal. These included the R & D side of ASSM, flight safety foundation and the University of Texas. Mr. Hedges also stated that he had met with every alphabet group in aviation and that their trust with the FAA had increased. He stated that the ASRS subcommittee frustrated him and that he would not provide a blank check to ASRS. Mr. Bourque said the subcommittee was not asking for a blank check, but instead adequate funding to move forward. Mr. Hedges asked if the NASA/FAA marriage could be saved, and Ms. Kolander asked him for a clarification on this statement. Mr. Hedges responded that the FAA has needs and is frustrated in trying to modernize ASRS. He stated that by providing the Aviation Safety Action Programs with an immunity provision the ASRS protections would no longer be needed. The Office of Safety is trying to leverage resources and whether the data is hosted at the tech center or not, is transparent to the user. A consensus of the ASRS subcommittee disagreed with that assessment.

Mr. Thomas said the SERC was not in the business of hosting data, but instead offers consulting and licensing. Mr. Voigt said that there was no disagreement about ASRS going electronic, but that ASAP was not an immunity program. Mr. Hedges disagreed and stated that the ASAP immunity is where the FAA was headed. Mr. Hashek from the ADF said that any airline is able to deny signature to an ASAP agreement. Ms. Connell stated that many of the IT tools presented at this meeting already exist and are just waiting for a secure means of internet submission. Mr. Anoll stated October 2004 was the deadline for joint electronic submission proposals and was prompted by the ASRS general aviation weather callback cost estimates. Mr. Finelli made the statement that costs are incurred by all agencies and that if the FAA has an already existing infrastructure in place the dollar amounts would have to be discussed off line. Mr. Wirth stated that it was not the subcommittee's role to comment on budget issues. Mr. Landsberg said the subcommittee has spoken and they want electronic report submission. Ms. Kolander said it is the subcommittee's role to make recommendations. Mr. Wirth and the other subcommittee members agreed that a beta test should go forward and reside at ASRS from beginning to end.

Afternoon Session

Status Report and FY05 Funding Impacts

Ms. Connell briefed on current ASRS issues including report intake volume, ASAP submissions and the projected 2005 budget. Mr. Hedges stated that the 2005 ASRS budget would be 2.0M and that the FAA was unsure where ASRS would be placed in the current FAA reorganization. Mr. Wirth asked if ASRS could maintain 12 Callback issues under a \$2.0M budget. Ms. Connell responded with three different funding scenarios and their respective impacts. The scenarios decreased the current levels of full form report processing, *CALLBACK* publishing, the elimination of non-governmental quick responses, zero IT enhancements and reduced public outreach. Mr. Landsberg requested clarification on the impact of a zero ASRS enhancement budget. Mr. Blouin stated that 6 Callback issues were acceptable to him, but to keep the ASRS website up and running. Mr. Voigt stated that the greatest benefit provided by ASRS was alerting and that the ATPAC travel funds should be used elsewhere. Ms. Kolander stated that to help ASRS save funds ASRS subcommittee members should promote ASRS at industry events.

Ms. Connell briefed on the Aviation Surface Movement Event Transgression (ASMET) project completed for the Office of Runway Safety. Mr. Bourque discussed the issue surrounding maintenance vehicles and aircraft tows involved in surface movement events. Mr. Wirth asked the FAA if the ASMET project was complete and could be used by airlines in training crews for particular airports. The FAA stated that the project is still under review by the Office of Runway Safety. Mr. Hedges stated that the FAA would be unveiling the 2005 flight plan. Mr. Landsberg stated that too much effort was being placed on runway incursions and more effort should be place on general aviation issues. Mr. Hedges stated that the FAA had helped bring about a tremendous turn around in flight safety statistics for general aviation pilots in Alaska. Mr. Wright stated that GA decision-making has higher fatality rates for both fixed and rotary wing aircraft than any other area of aviation.

Ms. Connell discussed the October 2004 ICASS meeting and informed the subcommittee that Brazil was the newest ICASS member and has had a safety reporting system in place since 1997. Mr. Wright asked why Germany, South Africa and New Zealand were not listed as current ICASS members.

Ms. Connell briefed on several IT developments; including university attempts to gather socio psychological data from FOQA/ASAP airline participants. Mr. Landsberg asked ASRS how much time and money it would take to put the ASRS database on line for public access. Ms. Connell responded that there is no money to complete this action, but she would take the inquiry as an action item.

ASRS VMV, Goals & Master Strategies

The minutes from the January 2004 ASRS subcommittee meeting were accepted. Mr. Wirth motioned and the subcommittee accepted and made permanent the preamble of the VMV goals through page 4. Ms. Connell reviewed the master strategies and Mr. Blouin restated that their purpose is for budgeting and performance evaluation. Mr. Landsberg

wanted to know where the tactical plan would be described that listed the detailed program objectives. Mr. Anoll expressed his hesitancy in endorsing the VMV because it was not necessarily a joint document. Mr. Wirth restated Mr. Russel's previous idea concerning the incorporation of metrics into the program plan. Mr. Hedges believed that the master strategies needed to also be moved into the program plan. The subcommittee felt the VMV goals should be reviewed and prioritized annually. Ms. Connell took for action to solicit and prioritize the goals with the subcommittee members.

Current High Profile Safety Issues

Mr. Bixler briefed on several current high profile ASRS incidents that included:

- ☐ Personal Breathing Equipment explosions and/or fires
- ☐ Airport Surface Movement Event Transgression Project overview
- ☐ Teterboro Departure Incident Update

Security Incident Reporting System (SIRS)

Mr. Bixler presented an analysis of airport and security incidents, which included a breakdown of ASRS reports of a security nature. He also briefed about the current status of the SIRS sub-project and its rollout at the Oakland, San Jose and San Francisco Airports.

Open Discussion

Mr. Wirth asked the FAA about the status of the 5-year time limit concerning the date of incident and the finding of violation. Mr. Anoll stated that FAA legal agreed to interpret the Advisory Circular language to set the 5-year time limit from the date of incident. Mr. Wirth asked the FAA for written documentation stating this interpretation. Mr. Hedges took for action to have an initial e-mail sent, followed by a letter from the General Counsel to the subcommittee members.

NASA took for action to arrange the next subcommittee meeting. The FAA and NASA took for action to arrange the next IT development meeting.

Mr. Blouin concluded the meeting by stating that ASRS electronic report submission should be promoted to the general user as being as secure as on-line banking. In addition, he stated that members from his organization would be very reluctant to send information to the FAA instead of to NASA ASRS. A consensus of subcommittee members agreed with his statement.

ACTION ITEMS
From
ASRS Subcommittee Meeting
November 3, 2004

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| 1. Documentation on the legislative formulation of the JPDO. | (FAA) |
| 2. Estimate to make the ASRS database available on the Internet. | (NASA) |
| 3. Solicit and prioritize the VMV goals. | (NASA) |
| 4. New ASRS subcommittee members identified. | (NASA) |
| 5. E-mail and hard copy letter from the General Counsel
addressing the Advisory Circular language and their
interpretation of the 5-year time limit starting from the date
of the reported incident | (FAA) |

Approval: _____
William Wirth, Chairman

Date

Appendix A

Advisory Subcommittee Meeting

Wednesday, November 3, 2004

- 0900-0915: **Opening Remarks & Welcome**
Bill Wirth, ASRSS Chair
Linda Connell, ASRSS Executive Secretary
- 0915-0930: **New Member Status**
Linda Connell, ASRSS Executive Secretary
- 0930-1015: **Electronic Report Submission**
Jeff Bixler, NASA ASRS Deputy Director & Dr. Ed Chow, NASA Jet Propulsion Laboratory
- 1015-1030: **Break**
- 1030-1230: **FAA Presentation**
Chuck Hedges, Deputy Assistant Administrator, Office of System Safety
- 1230-1330: **Lunch**
- 1330-1415: **Status Report and FY05 Funding Impacts**
Linda Connell, NASA ASRS Director
- 1415-1445: **ASRS VMV, Goals & Master Strategies (Final Draft)**
Bill Wirth and Linda Connell
- 1445-1500: **Break**
- 1500-1545: **Current High Profile Safety Issues**
Jeff Bixler
- 1545-1600: **Security Incident Reporting System (SIRS)**
Jeff Bixler
- 1600-1730: **Open Discussion**
- 1730 **Adjourn**

NATCA Headquarters
1325 Massachusetts Ave. NW
Washington, D. C. 20005

Appendix B

AVIATION SAFETY REPORTING SYSTEM SUBCOMMITTEE (ASRSS)

Washington, D.C.

November 3, 2004

LIST OF MEETING ATTENDEES

Subcommittee Members

Wirth, William (Chair)

Blouin, Robert

Bourque, Richard

Hedges, Chuck

Kolander, Candace

Landsberg, Bruce

Russell, Paul

Voigt, Scott

Wright, Richard

Air Line Pilots Association

National Business Aircraft Association

Intl. Assn. of Machinists

FAA, ASY-1

Association of Flight Attendants

AOPA Air Safety Foundation

Aerospace Industries Association

National Air Traffic Controllers Association

Helicopter Association International

NASA Attendees

George Finelli

Connell, Linda (Exec. Sec'y)

Bixler, Jeffrey

Chow, Ed

NASA HQ

NASA ARC

NASA ARC

NASA JPL

FAA Attendees

Anoll, Robert

Thomas, Jim

FAA, Office of System Safety

FAA/AIO-5

Other Attendees

Edmunds, Bill

Blaine, Mike

Brennan, Mike

Hashek, Frank

Pursel, John

Hunsaker, Julie

Brackett, John

Air Line Pilots Association

Battelle Memorial Institute

Battelle Memorial Institute

Airline Dispatcher's Federation

Northrop Grumman Corporation

NARA

Boston University

Appendix C

AVIATION SAFETY REPORTING SYSTEM SUBCOMMITTEE
(ASRSS)
Washington, DC
November 3, 2005

LIST OF PRESENTATION MATERIAL¹

1) Electronic Report Submission (Bixler/Chow) Including ERS Risk Matrix Handout	19 pages 4 pages
2) FAA Presentation (Hedges/Thomas/Brackett)	22 pages
3) Status Report and FY05 Funding Impacts (Connell)	28 pages
4) ASRS VMV, Goals & Master Strategies (Connell)	xx pages
5) Current High Profile Safety Issues (Bixler)	36 pages
6) Security Incident Reporting System (Bixler)	9 pages
7) New ASRS Subcommittee Members (Connell)	1 page

¹Presentation materials are on file at NASA Ames Research Center, Aviation Safety Reporting System, Code IHS, Moffett Field, CA 94035-1000